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PTO/SB/05 (12/97) Approved for use through 09/30/2000. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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UTILITY  
PATENT APPLICATION  
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 4034-46 Total Pages 43

First Named Inventor or Application Identified

Stuart Lee Breslow et al.

Express Mail Label No. EJ166451754US

S. PTO  
47646

12/30/99

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1.  Fee Transmittal Form  
(Submit an original, and a duplicate for fee processing)

2.  Specification [Total Pages 36]  
(preferred arrangement as set forth below)  
 - Descriptive title of the Invention  
 - Cross References to Related Applications  
 - Statement Regarding Fed sponsored R & D  
 - Reference to Microfiche Appendix  
 - Background of the Invention  
 - Brief Summary of the Invention  
 - Brief Description of the Drawings (if filed)  
 - Detailed Description  
 - Claim(s)  
 - Abstract of the Disclosure

3.  Drawing(s) (35 USC 113) [Total Sheets 3]

4. Oath or Declarations [Total Pages 4]

a.  Newly executed (original or copy)  
 b.  Copy from a prior application (37 CFR 1.63(d))  
 (for continuation/divisional with Box 17 completed)  
 [Note Box 5 below]  
 i.  DELETION OF INVENTOR(S)  
 Signed statement attached deleting  
 inventor(s) named in the prior application,  
 see 37 CFR 1.63(d)(2) and 1.33(b).

5.  Incorporation By Reference (useable if Box 4b is checked). The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

6.  Microfiche Computer Program (Appendix)

7. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)  
 a.  Computer Readable Copy  
 b.  Paper Copy (identical to computer copy)  
 c.  Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

8.  Assignment Papers (cover sheet & documents(s))

9.  37 CFR 3.73(b) Statement  Power of Attorney  
(when there is an assignee)

10.  English Translation Document (if applicable)

11.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations

12.  Preliminary Amendment

13.  Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)

14.  Small Entity  Statement filed in prior application, Statements(s) Status still proper and desired

15.  Certified Copy of Priority Document(s)  
(if foreign priority is claimed)

16.  Other: \_\_\_\_\_

## 17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

 Continuation  Divisional  Continuation-in-part (CIP) of prior application No: /

## 18. CORRESPONDENCE ADDRESS

 Customer Number or Bar Code Label (Insert Customer No. or Attach bar code label here) or  Correspondence address below

NAME	Ernest D. Buff Riker, Danzig, Scherer, Hyland & Perretti LLP				
ADDRESS	Headquarters Plaza One Speedwell Avenue				
CITY	Morristown	STATE	New Jersey	ZIP CODE	07962
COUNTRY	USA	TELEPHONE	973-538-0800	FAX	973-359-0984

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to The Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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<input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:  Deposit Account Number → 50-0444 Deposit Account Name → Riker, Danzig, Scherer, Hyland & Perretti LLP  <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 <input type="checkbox"/> Charge the Issue Fee Set In 37 CFR 1.18 at the Mailing of the Notice of Allowance  2. <input type="checkbox"/> Payment Enclosed: <input type="checkbox"/> Check <input type="checkbox"/> Money Order <input type="checkbox"/> Other				3. ADDITIONAL FEES																																																																																																																																																																																																																																																																		
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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: **Stuart Lee Breslow et al.**  
Attorney Docket No.: **4034-46**  
For: **ON-LINE TRADING SYSTEM**

JC575 U. S. PTO  
09/476448  
12/30/99

Morristown, N.J. 07962  
December 30, 1999

Box Patent Application  
Assistant Commissioner of Patents  
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## CERTIFICATION

I hereby certify that this paper, bearing Express Mailing Label No. EJ166451754US, together with the accompanying papers directed to the above-identified Utility Patent Application are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and are addressed to Box Patent Application, Assistant Commissioner for Patents, Washington, D.C. 20231.

Angela Gehring  
Angela Gehring  
(Mailer)